



**Intermodal
Transportation
Division
Policy**

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Effective Date

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Review Date

SUP 00-2 (5-15-08)
Supersedes


Floyd Roehrich, Jr.
State Engineer

PER 00-2 CERTIFICATION REQUIREMENTS

PURPOSE

To present the requirements for certification of Highway Operations and Construction positions.

SCOPE

This policy applies to the Intermodal Transportation Division highway maintenance and construction personnel participating in the certification program. The certification courses and requirements in this policy are offered in addition to the mandatory ADOT/ADOA training requirements, which are outside the scope of this policy. This policy refers to certification matrices and training requirements but does not include procedures for implementation of training, development of courses, or class staffing and scheduling.

POLICY

A. CONSTRUCTION SERIES

1. All personnel assigned to perform **materials sampling/testing** and who are responsible for the accuracy and reliability of materials test results are required by Federal Regulation, 23 CFR part 637, subsection 209(b) to obtain ATTI (Arizona Technical Testing Institute) or ACI (American Concrete Institute) certification as indicated:
 - ATTI Field Technician Certification – Personnel performing field sampling and testing of soils, aggregates and asphaltic concrete.
 - ATTI Soils/Aggregate Laboratory Technician Certification – Personnel performing laboratory testing of soils and aggregates.
 - ATTI Asphalt Technician Certification – Personnel performing laboratory testing of asphaltic concrete.
 - ACI Concrete Field Testing Technician Grade 1 Certification – Personnel performing field and laboratory sampling and testing of Portland cement concrete.
2. All personnel assigned to perform inspection of the state highway construction program are required to obtain the Construction Inspector Certification as indicated on the "**Construction Inspection**" certification matrix.
3. All personnel assigned to a construction field office are required to obtain the Construction Office Manager's Certification as indicated on the "**Construction Office**" certification matrix.
4. All personnel assigned to perform duties related to the surveying function of the division are required to obtain the certification requirements in the "**Survey Technician**" certification matrix."
5. All personnel assigned to perform duties related to the lab functions are required to obtain the certification requirements in the "**Construction Lab Technician**" certification matrix.

6. All construction personnel assigned to perform duties related to landscape functions are required to obtain the certification requirements in the **“Landscape Construction Inspection”** certification matrix.
7. Transportation Engineering Associates (TEAs) with a Bachelor of Science in Civil Engineering (BSCE) are required to complete all certifications in the **left column** of the **“Transportation Engineering Associate (TEA)”** certification matrix within two years from their date of hire.

TEAs with a BSCE assigned to, or desiring to be assigned to a construction org are required to obtain the certification training from **all columns** of the **“Transportation Engineering Associate” (TEA)** certification matrix within four years from their date of hire. It is recommended that courses marked with an (*) be completed within the first two years of employment. This certification training must be completed within the stated timeframe in the matrix to be granted permanent status as a **Transportation Engineering Specialist (TES)**.

8. Construction series training does not replace or dismiss the employee’s obligation to complete ADOT mandatory training.
9. In addition to the certification matrix requirements, there are work experience and education requirements for promotional opportunities and certification in the “S” pay grade.

If the **promotion to the next level is competitive**, work experience and education requirements for each level are accumulative and build on the preceding Transportation Construction Technician (TCT) level (i.e., a candidate for TCT II would need to fulfill the work experience and education requirements of the TCT I and Worker in addition to those of the TCT II.)

If the **promotion to the next level is non-competitive**, the criteria is:

- * A minimum of one-year experience (12 months) is required in the class before being released from underfill,
 - * Fulfill the training matrix requirements for the promotional position. Prior experience does not qualify or substitute for the required one-year experience when promoting non-competitively, however, prior experience can be credited when a person is initially hired to ADOT or is being competitively promoted,
 - * A score of 3.0 or better on their last employee performance evaluation, and
 - * Supervisor’s written approval on the matrix.
- a. **Transportation Construction Technician I** – Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience in using sieve scales and calculator; OR collecting and analyzing soil samples in a field laboratory, performing laboratory tests on soils or surfacing materials aggregates and related duties; OR performing introductory level engineering and construction documentation; or assisting in highway construction project inspection.
 - * Thirty semester hours applicable toward a Bachelor’s degree in engineering or closely related curriculum may substitute for the required experience.
 - * Any combination of training and experience that meets the knowledge, skills, and abilities may be substituted.

- b. **Transportation Construction Technician II** - These requirements are in addition to those of the Transportation Construction Technician I. Typical ways to obtain the required knowledge, skills and abilities are:
- * Entry-level experience in chaining, rodding and staking on a survey crew operating survey equipment; OR conducting quality control tests; OR performing engineering and construction records maintenance and verification or related duties; OR assisting in inspecting highway construction projects, material lay down and concrete placement.
 - * 60 semester hours applicable toward a Bachelor's degree in engineering or closely related curriculum may substitute for the required experience.
 - * Any combination of training and experience that meet the knowledge, skills, and abilities may be substituted.
- c. **Transportation Construction Technician III** - These requirements are in addition to those of the Transportation Construction Technician II. Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
- * Performing highly skilled technical experience in operating survey equipment; OR inspecting highway constructions projects, hot mix plants and concrete plants; OR performing administrative or advanced engineering and construction records maintenance and related duties; OR performing construction related materials testing/inspections.
 - * 90 semester hours applicable toward a Bachelor's degree in engineering or closely related curriculum may substitute for the required experience.
 - * Any combination of training and experience that meet the knowledge, skills, and abilities may be substituted.
- d. **Transportation Construction Technician IV** - These requirements are in addition to those of the Transportation Construction Technician III. Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
- * Journey-level experience as a senior-level technician, performing as a survey party chief; OR inspecting highway construction projects, hot mix and concrete plants; OR performing administrative or advance engineering and construction records maintenance and related duties; OR performing construction related quality control and materials testing/inspections;
 - * A Bachelor's degree in engineering or closely related curriculum may substitute for the required experience.
 - * Any combination of training and experience that meet the knowledge, skills, and abilities may be substituted.

B. HIGHWAY OPERATIONS TECHNICIAN SERIES

1. All Highway Operations Workers, Highway Operations Tech I, II, III, IV, and Highway Operations Technician Supervisors and Superintendents in Signing and Striping positions are required to complete the **"Signing and Striping"** matrix for certification. The matrix is a combination of both required and elective courses (elective, based on individual District needs). Both are required for certification.
2. All Highway Operations Workers, Highway Operations Tech I, II, III, IV, and Highway Operations Technician Supervisors and Superintendents in Roadway or Landscaping positions are required to complete the **"Roadway and Landscape"** matrix for certification. The matrix is a combination of both required and elective courses (elective, based on individual District needs). Both are required for certification.
3. **Commercial Driver's License** – Becoming certified includes full compliance with ADOT's CDL requirements which vary by position. See ITD policy PER 04-1 for CDL requirements and exceptions.
4. HOT series certification training does not replace or dismiss the employee's obligation to complete ADOT mandatory training.
5. In addition to the certification matrix requirements, there are work experience and education requirements for promotional opportunities and certification in the Highway Operations Technician (HOT) series.

If the **promotion to the next level is competitive**, work experience and education requirements for each level are accumulative and build on the preceding HOT level (i.e., a candidate for HOT II would need to fulfill the work experience and education requirements of the HOT Worker and the HOT I.)

If the **promotion to the next level is non-competitive** the criteria is:

- * A minimum of one-year experience (12 months) is required in the class before being released from underfill,
 - * Fulfill the training matrix requirements for the promotional position. Prior experience does not qualify or substitute for the required one-year experience when promoting non-competitively, however, prior experience can be credited when a person is initially hired to ADOT or is being competitively promoted,
 - * A score of 3.0 or better on their last employee performance evaluation, and
 - * Supervisor's written approval on the matrix.
- a. **Highway Operations Worker** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience in vehicle and equipment operation and maintenance, signing/striping of roadways, pavement care and preservation, roadway operations, tunnel maintenance, and landscape care and preservation.
 - b. **Highway Operations Technician I** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience as a Highway Operations Worker, performing routine, but apprentice-level work with decreasing supervision and guidance over time.

- c. **Highway Operations Technician II** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience as a Highway Operations Technician I, performing intermediate-level highway operational duties including scheduling, assigning, overseeing, training and inspecting work of lower-level technicians and workers on small projects.
- d. **Highway Operations Technician III** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience as a Highway Operations Technician II, performing a broad scope of high-level highway operations duties; acting as lead technician on large projects, establishing priorities and relaying them to the crew; assisting in the day-to-day operations of the section; overseeing special projects. Highway Operations Technician III may act on behalf of the supervisor when assigned.
- e. **Highway Operations Technician IV** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience as a Highway Operations Technician III, overseeing and inspecting work products for multiple operations, directing in-house and contracted services. Assists with annual work plan and budgets. Highway Operations Technician IVs may act on behalf of the supervisor when assigned.
- f. **Highway Operations Technician Supervisor** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Experience as a Highway Operations Technician IV, developing, implementing and monitoring annual work plan for assigned geographical area, performing performance appraisals and initiating disciplinary actions, approving time sheets, leave requests and overtime.
- g. **Highway Operations Superintendent** - Any combination of training, education and experience can be used to meet the required knowledge, skills and abilities;
 - * Bachelor of Science in a closely related field and two years of highway operations experience, or three years as a Highway Operations Supervisor, or four years as a Highway Operations/Construction Tech IV, or Registration in the State of Arizona as applicable to the position. Any combination of training and experience that meet the knowledge, skills, and abilities may be substituted.

C. CONDITIONS FOR CERTIFICATION (Applies to both Highway Operations and Construction.)

1. The ITD Org supervisor shall:

- a. Indicate on the Employee Performance Planner the level and type of certifications required of the employee.
- b. Indicate on the Employee Performance Planner the training to be acquired during the evaluation period.

- c. Indicate on the “Non-Competitive Promotion” (form 54-0104, Exhibit 1) that the employee has received a score of 3.0 or better on the last employee performance evaluation.
 - d. Indicate that the employee has received adequate training or has completed adequate study for the test prior to being scheduled for certification testing or retesting.
 - e. Send the application packet to the State Engineer’s Office for signature and processing. Packet must include (in this order):
 - * Completed “Personnel Action Checklist & Cover Sheet”. From example in Exhibit 2.
 - * Completed “Non-Competitive Promotion” (form 54-0104) indicating (by signature) that the employee has fulfilled the requirements for promotion or release from underfill. Form example in Exhibit 1.
 - * Current resume and application for employment
 - * Copy of the employee’s performance evaluation.
 - * Copy of the employee’s completed Certification Training Matrix signed by the supervisor.
 - * Copy of the EPAS Planner sheets to validate type and level of certification required for the employee.
 - * “Exception to Certification Requirements” form if applicable. Form example in Exhibit 3.
2. Employees who currently have permanent status in a position, in the classifications impacted by this policy, will not be required to obtain the certifications identified in this policy except as identified on the Employee Performance Planner. The only exceptions to this paragraph are those persons who perform duties requiring ATTI/ACI Certification as required by Federal Regulation.
- a. Employees who are **competing to promote** into a classification impacted by this policy must meet the matrix requirements for all prior classifications. The employee must then meet the matrix requirements for the classification they are promoting into before permanent status is obtained in the new (promotional) classification.
 - b. For **non-competitive promotion**, the employee must complete all matrix requirements for the promoting classification and all the prior classifications prior to being released from underfill and receiving permanent status in the new (promotional) classification.
 - c. To obtain permanent status, a **new hire** must meet all the requirements (within the original probation period) in the classification to which they were hired. They do not have to go back and fulfill matrix requirements for any other classification to receive permanent status. Once this employee receives permanent status, to promote non-competitively they are required to complete all matrix requirements for the promoting classification and all prior classifications before to being released from underfill and receiving permanent status in the new (promotional) classification.
 - d. Employees will be returned to the classification to which they hold permanent status, if the matrix requirements for the promoting classification are not completed within the promotional probation period (six months). The promotional probation period may be extended for one six month period to allow the employee time to complete the matrix requirements, if they are actively pursuing the training. The exception is the Highway Operations Worker. Original probation may be extended for six months, followed by termination if they do not meet the qualifications.

- e. An employee cannot lateral or take a voluntary grade decrease into a TCT or HOT position as an underfill; an employee would have to compete for the underfill position.
3. Training matrices are continuously updated as requirements evolve. Each matrix is dated. The certification **matrix effective on the employee's hire date or promotion date will remain the matrix for that employee to obtain permanent status**. However, ITD reserves the right to require additional classes for employees (both probationary and permanent status employees) should they become necessary for the efficient and safe operation of the Construction or Highway Operations Programs. Any mandatory classes added to an employee's matrix must be documented in writing. The employee's Performance Planner is a good place to document training requirements.
 - a. The Administrative Services Officer is responsible for obtaining the correct matrix at the time of hire or promotion and distributing a copy to both the employee and the supervisor.
 - b. The Supervisor is responsible for keeping a copy of the matrix effective on the employee's hire or promotion date on file for each employee.
 - c. The employee is also responsible for keeping a copy of the matrix effective on their hire or promotion date.
4. Employees may "test out" of certain classes and receive credit on their training matrix. To be certified, an employee must receive a passing grade in each of the classes leading to certification by attending the class and passing the test, or by "testing out" without attending the class. Classes cannot be skipped or deemed invalid by passing the next class in the series. Please Note: Not all classes are available for "test out". Classes that are available for "test out" are denoted as such on the instructor's log, which can be found on the ADOT Learning Center under Training Resources in the Construction and Maintenance section.
5. Initial certification testing for employees shall be paid for by ITD Technical Training when funds are available. Prior to certification testing, Districts or Groups must submit an on-line "ITD Technical Training Funding Request" to ITD Technical Training as a first step in requesting payment for the testing. In the case of employees who do not pass the initial test the District shall pay for one retest, unless the retest is included in the initial payment. Employees who do not pass the retest will be required to retake the class. ITD Technical Training does not pay for retests. Additional retests must be approved by the Deputy State Engineer.
6. Employees who have not obtained the certification required by this policy after one year in the classification may be granted permanent status in the new class, in some situations, with the written approval of the appropriate Deputy State Engineer. The class requirement will not be "waived", but will be deferred and must be taken the following year or as soon as it becomes available. Examples may include, but are not limited to 1) If classes were not developed or made available in time for employees to complete the class, 2) Probation ends before class starts, 3) Special circumstances prevent completing a class, etc. Use the 'Exception Form' in Exhibit 1 of this policy and submit to the Deputy State Engineer for signature. The signed form will be returned to the District with a copy to the employee (see Exhibit 1).
7. This policy supersedes all previous policies and memoranda on this subject.
8. Certification Matrices (Both Construction, and Highway Operations) are located on the ADOT website at http://pathlore/stc/adot/index_docs/cst_matrices.htm

9. Construction training matrices are maintained, updated and posted to the ADOT web page by authority of the Construction Group Manager with State Engineer's Office approval. Announcement of new training matrices by the Construction Group must include notification to group and district personnel by e-mail to "ITD-All."
10. Highway Operations training matrices are maintained, updated and posted to the ADOT web page by authority of the Central Maintenance Group Manager with State Engineer's Office approval. Announcement of new training matrices by the Central Maintenance Group must include notification to group and district personnel by e-mail to "ITD-All."
11. Changes to the training matrices must be approved by the ITD Core Team prior to implementation. The updated matrices will be dated and re-posted to the ADOT web site. Only the official (approved) matrices reside on the ADOT web site.

ARIZONA DEPARTMENT OF TRANSPORTATION
NON-COMPETITIVE PROMOTION

Check appropriate box: ☐ Release from Underfill ☐ Competitive Special Detail

NOTE: This is the only cover document required by the Human Resources Office to effect this action along with Employment Application and resume, EPAS, and training certificate (if required). No memos are necessary.

EMPLOYEE NAME		EIN	DIVISION / SECTION / ORG	
UNDERFILL CLASSIFICATION		POSITION NO. / JOB CODE NO.		
PROMOTIONAL CLASSIFICATION		POSITION NO. / JOB CODE NO.		
DATE OF EMPLOYMENT IN UNDERFILL CLASSIFICATION		REQUESTED DATE OF PROMOTION		
DIVISION OR DISTRICT LIAISON (Please print name)		ADDRESS/MAIL DROP	DATE	PHONE #
ORG SUPERVISOR SIGNATURE / TITLE			DATE	PHONE #
Current EPAS overall 3.0 or better Yes ____ No ____ Supv. Initial _____				
(For Special Detail only) <input type="checkbox"/> Apply time spent in classification toward satisfying the six-month promotional probation requirement. Supv. Initial _____				
Does this position require a Commercial Drivers License (CDL)? (this section must be completed in order to process action) Yes ____ No ____ If Yes, provide the following:				
• License number _____ State issued: _____				
• Type and endorsement(s) (i.e. Class A; "X", "N") type: _____ endorsement: _____				
• Valid dates: issued: _____ expiration: _____				
DIVISION / GROUP REVIEW				
MANAGEMENT SIGNATURE / TITLE		<input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur	DATE	PHONE
(For Special Detail Only) ____ Approve ____ Disapprove the application of time spent in the classification toward satisfying the six-month promotional probation requirement. Mgmt. Initial _____				
PERSONNEL USE ONLY				
____ Probation Completed				
____ Meets Qualifications (KSA)				
____ EPAS Score Confirmed				
COMMENTS:				
UNLESS OTHERWISE NOTED ABOVE, MUST SERVE 6 MONTHS PROMOTIONAL PROBATION IN ACCORDANCE WITH DEPARTMENT OF ADMINISTRATION PERSONNEL RULE R 2-5-213.				
APPROVED ____		DISAPPROVED ____		EFFECTIVE DATE: _____
BY: _____		DATE _____		

Personnel Action Checklist & Cover Sheet

Job Title & Position Number: _____

Exhibit 2



Arizona Department of Transportation

Intermodal Transportation Division

State Engineer's Office

MEMORANDUM

To: Deputy State Engineer

Date:

From: District Engineer, Mail Drop

Subject: Exception to Certification Requirements

ITD policy PER 00-2 (Certification Requirements Policy) requires an employee to obtain specific training before being granted permanent status in the promotional classification in the _____ (construction or HOT) series. Due to circumstances outside the employee's control they did not fulfill their certification matrix training within the year as required by the policy for the following reason(s): (Check all that apply and explain each circumstance.)

☐

Class was not developed or made available in time for the employee to complete the training.

What class and explain the timeframe: _____

☐

Probation ends before the class begins. Please explain in detail, including any classes the employee was scheduled to take before the end of probation: _____

☐

Special circumstances prevent the employee from completing the class. Please explain in detail, including the classes the employee was scheduled to take but was unable to complete and the reason for non-completion: _____

☐

Other. Please explain in detail: _____

I request EMPLOYEE NAME be granted permanent status as a CLASSIFICATION TITLE effective DATE and request the required certification training be deferred (not waived) to the next earliest opportunity, but not more than 12 months from TODAY'S DATE.

☐

Approved _____

☐

Not Approved _____ Reason _____

Signature, Deputy State Engineer

Date

Once signed by the Deputy State Engineer, the original form (along with other application packet documents) are forwarded to the Human Resources Office and a copy is returned to the District Office who provides a copy to the employee.